

Element Performance Inspection (EPI) Data Collection Tool
4.3.3 Advanced Qualification Program (AQP) (OP)

ELEMENT SUMMARY INFORMATION

Purpose of This Element (Certificate Holder's responsibility):

- To provide an alternate method for qualifying, training, certifying, and otherwise ensuring competency of crewmembers, aircraft dispatchers and other operations personnel, instructors and evaluators who are required to be trained or qualified under 14 CFR Part 121.

Objective (FAA oversight responsibility):

- To determine if the Certificate Holder follows its procedures, controls, process measurements and interfaces for the Advanced Qualification Program (AQP).
- To determine if there were any changes in the personnel identified by the Certificate Holder as having responsibility and / or authority for the Advanced Qualification Program (AQP).

Specific Instructions:

- To accomplish this EPI the inspector should become familiar with, and observe training and qualification events conducted in accordance with the Certificate Holder's approved AQP.

This EPI should be assigned to an Aircrew Program Manager (APM), a Partial Program Manager (PPM), an Assistant APM, or a specially trained member of the CMT.

Related EPI(s):

- 3.1.11 Computer Based Record Keeping System (OP)
- 4.2.10 Aircrew Designated Examiner (ADE) Program (OP)

SUPPLEMENTAL INFORMATION

Specific Regulatory Requirement(s) (SRRs):

- SRRs:
 - 119.43(b)
 - 119.43(b)(1)
 - 119.43(b)(2)
 - 119.43(c)
 - 121.135(a)(1)

121.135(b)(1)
121.135(b)(15)
121.135(b)(2)
121.135(b)(3)
121.401(a)
121.402(a)
121.402(b)
121.402(b)(1)
121.402(b)(2)
121.402(b)(3)
121.402(b)(4)
121.403(a)
121.403(b)
121.403(b)(1)
121.403(b)(2)
121.403(b)(3)
121.403(b)(4)
121.403(b)(5)
121.403(b)(6)
121.405(a)
121.405(a)(1)
121.405(a)(2)
121.407(a)(1)
121.407(a)(2)
121.407(a)(3)
121.407(a)(4)
121.407(a)(5)

Related CFR(s) & FAA Policy/Guidance:

- Related CFRs:
121.135(b)(15)
121.135(b)(24)
121.683(a)(1)
121.683(a)(2)
121.683(b)
121.683(c)
- FAA Policy/Guidance:
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EPI SECTION 1 – PERFORMANCE OBSERVABLES

Objective: (FAA oversight responsibility): To determine if the Certificate Holder follows its procedures, controls, process measures and interfaces for the Advanced Qualification Program (AQP).

Tasks

To meet this objective, the inspector must accomplish the following tasks:

1. Review the information listed in the Supplemental Information section of this data collection tool.
2. Review the policies, procedures, instructions, and information for the Advanced Qualification Program (AQP) contained in the Certificate Holder's manual.
3. Review the associated SAI for this element with emphasis on the controls, process measurements, and interface attribute sections.
4. Observe the Advanced Qualification Program (AQP) to gain an understanding of the procedures, instructions, and information contained in the Certificate Holder's manual.
5. Discuss the Advanced Qualification Program (AQP) with the personnel (other than management) who perform the duties and responsibilities required by the program.

Questions

To meet this objective, the inspector must answer the following questions:

1. Were the following Performance Measures met:

- 1.1 Did the Certificate Holder or training center establish and maintain its records in sufficient detail to establish the qualification of personnel trained under the Advanced Qualifications Program (AQP)?

☐ Yes

☐ No, Explain

Related Performance JTI's:

1. Check at the Records Repository that the Certificate Holder using AQP for flight crewmember training has qualified, trained, certified, and otherwise substantiated competency of its flight crewmembers in accordance with the Certificate Holder's design.
Sources: SFAR 58.1(a); SFAR 58.1(d); SFAR 58.3; SFAR 58.5(a); SFAR 58.5(b)(1); 121.135(b)(1); 121.135(b)(15)
2. Check at the Training Center that the Certificate Holder using AQP for instructor training is qualifying, training, certifying, and otherwise substantiating competency of its instructors in accordance with the Certificate Holder's design.
Sources: SFAR 58.1(a); SFAR 58.1(d); SFAR 58.3; SFAR 58.5(a); 121.135(b)(1); 121.135(b)(15)
3. Check at the Training Center that the Certificate Holder using AQP for evaluator training is qualifying, training, certifying, and otherwise substantiating competency of its evaluators in accordance with the Certificate Holder's design.
Sources: SFAR 58.1(a); SFAR 58.1(d); SFAR 58.3; SFAR 58.5(a); 121.135(b)(1); 121.135(b)(15)
4. Check at the Training Center that the Certificate Holder using AQP for other operations personnel training is qualifying, training, certifying, and otherwise substantiating competency of its other operations personnel in accordance with the Certificate Holder's design.
Sources: SFAR 58.1(a); SFAR 58.1(d); SFAR 58.3; SFAR 58.5(a);

- SFAR 58.5(b)(1); 121.135(b)(1); 121.135(b)(15)
5. Check at the Aircraft that the Certificate Holder using AQP for flight crewmember training is qualifying, training, certifying, and otherwise substantiating competency of its flight crewmembers in accordance with the Certificate Holder's design.
Sources: SFAR 58.1(a); SFAR 58.1(d); SFAR 58.3; SFAR 58.5(a); SFAR 58.5(b)(1); 121.135(b)(1); 121.135(b)(15)
 6. Check at the Aircraft Cabin that the Certificate Holder using AQP for flight attendant training is qualifying, training, certifying, and otherwise substantiating competency of its flight attendants in accordance with the Certificate Holder's design.
Sources: SFAR 58.1(a); SFAR 58.1(d); SFAR 58.3; SFAR 58.5(a); SFAR 58.5(b)(1); 121.135(b)(1); 121.135(b)(15)
 7. Check at the Dispatch Center Location that the Certificate Holder using AQP for aircraft dispatcher training is qualifying, training, certifying, and otherwise substantiating competency of its aircraft dispatchers in accordance with the Certificate Holder's design.
Sources: SFAR 58.1(a); SFAR 58.1(d); SFAR 58.3; SFAR 58.5(a); SFAR 58.5(b)(1); 121.135(b)(1); 121.135(b)(15)
 8. Check at the Air Carrier Specified Location that the Certificate Holder using AQP for instructor training is qualifying, training, certifying, and otherwise substantiating competency of its instructors in accordance with the Certificate Holder's design.
Sources: SFAR 58.1(a); SFAR 58.1(d); SFAR 58.3; SFAR 58.5(a); 121.135(b)(1); 121.135(b)(15)
 9. Check at the Air Carrier Specified Location that the Certificate Holder using AQP for evaluator training is qualifying, training, certifying, and otherwise substantiating competency of its evaluators in accordance with the Certificate Holder's design.
Sources: SFAR 58.1(a); SFAR 58.1(d); SFAR 58.3; SFAR 58.5(a); 121.135(b)(1); 121.135(b)(15)
 10. Check at the Air Carrier Specified Location that the Certificate Holder using AQP for other operations personnel training is qualifying, training, certifying, and otherwise substantiating competency of its other operations personnel in accordance with the Certificate Holder's design.
Sources: SFAR 58.1(a); SFAR 58.1(d); SFAR 58.3; SFAR 58.5(a); SFAR 58.5(b)(1); 121.135(b)(1); 121.135(b)(15)
 11. Check at the Records Repository that the Certificate Holder using AQP for flight attendant training has qualified, trained, certified, and otherwise substantiated competency of its flight attendants in accordance with the Certificate Holder's design.
Sources: SFAR 58.1(a); SFAR 58.1(d); SFAR 58.3; SFAR 58.5(a); SFAR 58.5(b)(1); 121.135(b)(1); 121.135(b)(15)
 12. Check at the FAA Location, then at the Records Repository, that the Certificate Holder using AQP has provided data to the FAA in accordance with the Certificate Holder's design.
Sources: SFAR 58.7(c); 121.135(b)(15); 121.135(b)(24)
 13. Check at the Records Repository that the Certificate Holder using AQP for dispatcher training has qualified, trained, certified, and

- otherwise substantiated competency of its aircraft dispatchers in accordance with the Certificate Holder's design.
Sources: SFAR 58.1(a); SFAR 58.1(d); SFAR 58.3; SFAR 58.5(a); SFAR 58.5(b)(1); 121.135(b)(1); 121.135(b)(15)
14. Check at the Records Repository that the Certificate Holder using AQP maintains current records of each aircraft dispatcher in accordance with the Certificate Holder's design.
Sources: 121.683(a)(1); 121.135(b)(24)
15. Check at the Records Repository that the Certificate Holder using AQP maintains records of each crewmember (domestic and flag operations only) for each action taken concerning the release from employment or physical or professional disqualification of any flight crewmember and keep the record for at least six months thereafter in accordance with the Certificate Holder's design.
Sources: 121.683(a)(2); 121.135(b)(24)
16. Check at the Records Repository that the Certificate Holder using AQP maintains records of each aircraft dispatcher (domestic and flag operations only) for each action taken concerning the release from employment or physical or professional disqualification of any aircraft dispatcher and keep the record for at least six months thereafter in accordance with the Certificate Holder's design.
Sources: 121.683(a)(2); 121.135(b)(24)
17. Check at the Records Repository that the Certificate Holder using AQP for instructor training has qualified, trained, certified, and otherwise substantiated competency of its instructors in accordance with the Certificate Holder's design.
Sources: SFAR 58.1(a); SFAR 58.1(d); SFAR 58.3; SFAR 58.5(a); SFAR 58.5(b)(1); 121.135(b)(1); 121.135(b)(15)
18. Check at the Records Repository that the Certificate Holder using AQP for evaluator training has qualified, trained, certified, and otherwise substantiated competency of its evaluators in accordance with the Certificate Holder's design.
Sources: SFAR 58.1(a); SFAR 58.1(d); SFAR 58.3; SFAR 58.5(a); SFAR 58.5(b)(1); 121.135(b)(1); 121.135(b)(15)
19. Check at the Records Repository that the Certificate Holder using AQP for other operations personnel training has qualified, trained, certified, and otherwise substantiated competency of its other operations personnel in accordance with the Certificate Holder's design.
Sources: SFAR 58.1(a); SFAR 58.1(d); SFAR 58.3; SFAR 58.5(a); SFAR 58.5(b)(1); 121.135(b)(1); 121.135(b)(15)
20. Check at the Training Center that the Certificate Holder using AQP for flight crewmember training is qualifying, training, certifying, and otherwise substantiating competency of its flight crewmembers in accordance with the Certificate Holder's design.
Sources: SFAR 58.1(a); SFAR 58.1(d); SFAR 58.3; SFAR 58.5(a); SFAR 58.5(b)(1); 121.135(b)(1); 121.135(b)(15)
21. Check at the Training Center that the Certificate Holder using AQP for flight attendant training is qualifying, training, certifying, and otherwise substantiating competency of its flight attendants in

<p>accordance with the Certificate Holder's design. <i>Sources:</i> 121.135(b)(1); 121.135(b)(15); SFAR 58.1(a); SFAR 58.1(d); SFAR 58.3; SFAR 58.5(a); SFAR 58.5(b)(1)</p> <p>22. Check at the Training Center that the Certificate Holder using AQP for aircraft dispatcher training is qualifying, training, certifying, and otherwise substantiating competency of its aircraft dispatchers in accordance with the Certificate Holder's design. <i>Sources:</i> SFAR 58.1(a); SFAR 58.1(d); SFAR 58.3; SFAR 58.5(a); SFAR 58.5(b)(1); 121.135(b)(1); 121.135(b)(15)</p>	
<p>1.2 Were all training devices and/or flight simulators used by the Certificate Holder or training center properly evaluated and/or approved for AQP?</p> <p><i>Related Performance JTI's:</i></p> <ol style="list-style-type: none"> 1. Check at the Training Center that the Certificate Holder using AQP is using flight simulator(s) that have been evaluated by the Administrator for assignment of the flight simulator qualification level and approved for the AQP program in accordance with the Certificate Holder's design. <i>Sources:</i> SFAR 58.9(a)(1)(i); SFAR 58.9(a)(1)(ii); SFAR 58.9(a)(1)(iii); SFAR 58.9(a)(1)(iv); 121.135(b)(15) 2. Check at the Records Repository that the Certificate Holder using AQP used a flight simulator(s) that has been evaluated by the Administrator for assignment of the flight simulator qualification level and approved for the AQP program in accordance with the Certificate Holder's design. <i>Sources:</i> SFAR 58.9(a)(1)(i); SFAR 58.9(a)(1)(ii); SFAR 58.9(a)(1)(iii); SFAR 58.9(a)(1)(iv); 121.135(b)(15) 3. Check at the Training Center that the Certificate Holder using AQP is using training device(s) that have been evaluated by the Administrator and approved for the AQP program in accordance with the Certificate Holder's design. <i>Sources:</i> SFAR 58.9(a)(1)(i); SFAR 58.9(a)(1)(ii); SFAR 58.9(a)(1)(iii); SFAR 58.9(a)(1)(iv); 121.135(b)(15) 4. Check at the Records Repository that the Certificate Holder using AQP used a training device(s) that has been evaluated by the Administrator and approved for the AQP program in accordance with the Certificate Holder's design. <i>Sources:</i> SFAR 58.9(a)(1)(i); SFAR 58.9(a)(1)(ii); SFAR 58.9(a)(1)(iii); SFAR 58.9(a)(1)(iv); 121.135(b)(15) 	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
<p>1.3 Were flight crewmembers properly paired?</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
<p>1.4 Did the person used in a seat substitution meet the AQP requirements to occupy that seat?</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
<p>1.5 Did the Certificate Holder adhere to its instructor quality assurance program?</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
<p>1.6 Did the Certificate Holder adhere to its evaluator quality assurance program?</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain

1.7 Were the instructors qualified for the module they are teaching?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
1.8 Did the Certificate Holder's training center utilizing the Advanced Qualification Program (AQP) conduct indoctrination for newly hired personnel, instructors, and evaluators in accordance with its approved program? <i>Related Performance JTI's:</i> 1. Check at the Training Center that the Certificate Holder using AQP is conducting indoctrination for newly hired personnel in accordance with the Certificate Holder's design. <i>Sources:</i> SFAR 58.4(a); SFAR 58.4(b); 121.135(b)(15) 2. Check at the Training Center that the Certificate Holder using AQP is conducting indoctrination for its instructors in accordance with the Certificate Holder's design. <i>Sources:</i> SFAR 58.4(c); 121.135(b)(15) 3. Check at the Training Center that the Certificate Holder using AQP is conducting indoctrination for its evaluators in accordance with the Certificate Holder's design. <i>Sources:</i> SFAR 58.4(d); 121.135(b)(15)	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
1.9 Did the Certificate Holder's record's indicate that the Advanced Qualification Program (AQP) training was conducted for newly hired personnel, instructors, and evaluators in accordance with its approved program? <i>Related Performance JTI's:</i> 1. Check at the Records Repository that the Certificate Holder using AQP conducted indoctrination for newly hired persons in accordance with the Certificate Holder's design. <i>Sources:</i> SFAR 58.4(a); SFAR 58.4(b); 121.135(b)(15) 2. Check at the Records Repository that the Certificate Holder using AQP conducted indoctrination for its instructors in accordance with the Certificate Holder's design. <i>Sources:</i> SFAR 58.4(c); 121.135(b)(15) 3. Check at the Records Repository that the Certificate Holder using AQP conducted indoctrination for its evaluators in accordance with the Certificate Holder's design. <i>Sources:</i> SFAR 58.4(d); 121.135(b)(15) 4. Check at the Records Repository that the Certificate Holder using AQP, that had AQP required training, qualification, or evaluation functions performed by another person (a training center), that the training, qualification, or evaluation was conducted in accordance with the Certificate Holder's design. <i>Sources:</i> SFAR 58.11(a); 121.135(b)(15); 121.135(b)(24)	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
1.10 Did the Certificate Holder utilizing the Advanced Qualification Program (AQP) ensure that training, qualifications, or evaluations performed by another party were conducted in accordance with its approved program? <i>Related Performance JTI's:</i> 1. Check at the Training Center that the Certificate Holder using AQP, that has AQP required training, qualification, or evaluation functions	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Applicable

<p>performed by another person (a training center), that the training, qualification, or evaluation is conducted in accordance with the Certificate Holder's design.</p> <p><i>Sources: SFAR 58.11(a); 121.135(b)(15); 121.135(b)(24)</i></p>	
<p>2. Were the Certificate Holder's policies, procedures, instructions and information, contained in its manual, for the Advanced Qualification Program (AQP) followed?</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
<p>3. Were the Advanced Qualification Program (AQP) controls followed?</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
<p>4. Did the records for the Advanced Qualification Program (AQP) comply with the instructions provided in the Certificate Holder's manual?</p> <p><i>Related Performance JTI's:</i></p> <p>1. Check at the Records Repository that the Certificate Holder using AQP maintains current records of each crewmember in accordance with the Certificate Holder's design.</p> <p><i>Sources: 121.683(a)(1); 121.135(b)(24)</i></p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
<p>5. Were the process measurements for the Advanced Qualification Program (AQP) effective in identifying problems or potential problems and providing corrective action for them?</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
<p>6. Did personnel properly handle the associated interfaces by complying with other written policies, procedures, instructions and information that are related to this element?</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain

EPI SECTION 1 – PERFORMANCE OBSERVABLES –Drop Down Menu	
1. Personnel.	
2. Tools and Equipment.	
3. Technical Data.	
4. Procedures, policies or instructions or information.	
5. Materials.	
6. Facilities.	
7. Controls.	
8. Process Measures.	
9. Interfaces.	
10. Desired Outcome.	
11. Other.	

EPI SECTION 2 – MANAGEMENT RESPONSIBILITY & AUTHORITY OBSERVABLES

Objective: To determine if the person identified by the Certificate Holder having responsibility and/or authority for the Advanced Qualification Program (AQP) is qualified, knowledgeable, and recognizes that responsibility and/or authority. (The person with the authority may or may not be the person with the responsibility.)

Tasks

To meet this objective, the inspector must accomplish the following tasks:

1. Identify the person who has overall responsibility for the Advanced Qualification Program (AQP).
2. Identify the person who has overall authority for the Advanced Qualification Program (AQP).

NOTE: If no personnel or major program changes (as defined by the Principal Inspector) affecting the responsibility or authority attributes for this element have occurred since the last SAI and / or EPI was accomplished, then do not perform tasks 3 – 6. Answer questions 2.1 & 2.2, and provide the name / title.

3. Review the duties and responsibilities for the person(s) who manage the Advanced Qualification Program (AQP) documented in the Certificate Holder's manual.
4. Review the appropriate organizational chart.
5. Discuss the Advanced Qualification Program (AQP) with the management personnel identified in Tasks 1 and 2.
6. Evaluate the qualifications and work experience of the management personnel identified in Tasks 1 and 2.

Questions

To meet this objective, the inspector must answer the following questions:

2. Are the following aspects of the Management Responsibility and Authority Attributes addressed for the Advanced Qualification Program (AQP):
 - 2.1 Is there a clearly identified person who is responsible for the quality of the Advanced Qualification Program (AQP)?

☐ Yes
☐ No, Explain Name/Title:
 - 2.2 Is there a clearly identified person who has authority to establish and modify the Certificate Holder's policies, procedures, instructions and information for the Advanced Qualification Program (AQP)?

☐ Yes
☐ No, Explain Name/Title:
 - 2.3 Does the responsible person know that he / she has responsibility for the Advanced Qualification Program (AQP)?

☐ Yes
☐ No, Explain
☐ Not Applicable
 - 2.4 Does the person with authority know that he / she has authority for the Advanced Qualification Program (AQP)?

☐ Yes
☐ No, Explain
☐ Not Applicable
 - 2.5 Does the person with responsibility for the Advanced Qualification Program (AQP) meet the qualification standards?

☐ Yes
☐ No, Explain
☐ Not Applicable

2.6 Does the person with authority to establish and modify the Advanced Qualification Program (AQP) meet the qualification standards?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Applicable
2.7 Does the person with responsibility understand the controls, process measurements, and interfaces associated with the Advanced Qualification Program (AQP)?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Applicable
2.8 Does the person with authority understand the controls, process measurements, and interfaces associated with the Advanced Qualification Program (AQP)?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Applicable
2.9 Does the responsible person know who has authority to establish and modify the Advanced Qualification Program (AQP)?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Applicable
2.10 Does the individual with authority know who has the responsibility for the Advanced Qualification Program (AQP)?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Applicable

EPI SECTION 2 – MANAGEMENT RESPONSIBILITY & AUTHORITY OBSERVABLES –Drop Down Menu	
1. Assignment of responsibility.	
2. Assignment of authority.	
3. Does not understand procedures, policies or instructions and information.	
4. Does not understand controls.	
5. Does not understand process measurements.	
6. Does not understand interfaces.	
7. Span of control.	
8. Position vacant.	
9. Other.	